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NIPR Applications

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Product Owner:
Product Manager: Carl R. Meek
   Phone: 801-538-3858
   E-mail: cmeek@utah.gov

Incorporated in October 1996, the National Insurance Producer Registry (NIPR) is a non-profit affiliate of the National Association of Insurance Commissioners (NAIC). NIPR developed and implemented the Producer Database (PDB) and Electronic Appointments/Terminations (formerly PIN). NIPR is governed by a 13 member board of directors, with 6 members representing the NAIC, 6 industry trade association representatives, including 3 producer trades and the EVP/CEO of the NAIC as an ex-offcio voting board member.

The PDB is an electronic database consisting of information relating to insurance agents and brokers (producers). The PDB links participating state regulatory licensing systems into one common repository of producer information. The PDB also includes data from the Regulatory Information Retrieval System (RIRS) to provide a more comprehensive producer profile. The key benefits of PDB are:

- Financial/Time Savings
- Reduction in Paperwork
- Real Time Information
- Verify License and Status in All Participating States
- Ease of Access via the Internet
- Single Source of Data vs. Multiple Web Sites

SPLD (State Producers Licensing Database) is to a large degree a mirror of the PDB however is for State Regulator use only. PDB must adhere to the Fair Credit Reporting Act as it interfaces directly with Insurance Producers.

The NIPR Gateway is a communication network that links state insurance regulators with the entities they regulate to facilitate the electronic exchange of producer information. Data standards have been developed for the exchange of license application, license renewal, appointment and termination information. All data flowing over the NIPR Gateway will conform to these standards. The key benefits of NIPR Gateway are:

- Reduction in paperwork and data entry
- Development of national standards regarding electronic transmission of licensing data
- Faster turnaround time

NIPR Applications are primarily Java J2EE applications that interfaces with Oracle back-end databases hosted in a Tier 3 data center in Kansas City MO with a Tier 3 backup data center in Lenexa KS.

The hours of support required for the applications listed above are listed below.

Application	Support Hours	Days of Week
Applications listed below	Business Hours: 8:00 am to 5:00 pm Mtn	Monday through Friday except State Holidays

Product Features and Descriptions

Feature	Description
NIPR Applications	
NRL	Non-Resident Licensing
NRR	Non-Resident Renewal
ERL	Electronic Resident Licensing or Renewal
LAW	Licensing Attachment Warehouse. Follow up submission and review of supporting documentation is frequently requested by a state as part of the licensing process.
Application Service Desk (Tier I and Tier II)	A first line response application service desk is available. Most application support issues can be resolved by first contact resolution. At present the application service desk is a store & forward system that is managed by DTS/DET. There are issues, such as data fixes, that need extended application support, NIPR Applications extended application support is provided by the NAIC in Kansas City MO. In most cases the application service desk requires the skills of an Applications specialist, a data analyst or a business analyst; See Service Levels and Metrics.
Up Time / Availability	NIPR Applications is required to be up and operational during the hours that the UID offices open for business (8:00 a.m. to 5:00 p.m. Monday thru Friday excluding holidays Mountain time. Public hours are 8:00 a.m. to 5:00 p.m.). The NIPR Applications databases are required to be up for State and industry access as well as certain back-end processes that run during business off hours (24x7 with scheduled maintenance windows). While the NAIC is responsible for the actual service 24x7, there is a replication process in Sircon For States so that Rate & Form information is available to all of the Insurance Department. See Service Levels and Metrics.
Extended Application Service Desk (Tier III & Tier IV)	NIPR Applications extended applications service desk support is provided by the NAIC Help Desk (Tier II, Tier III and Tier IV type incidents). DTS embedded staff will work closely with NAIC Help Desk staff to resolve issues as needed.

Features Not Included

Feature	Explanation

Extended Application Service Desk (Tier III & Tier IV)	Extended application service desk including dba data fixes, business rule modifications, or coding issue resolution are not supported in most instances by DTS. Extended applications service desk support and DBA data fixes are provided by the NAIC (most Tier II, Tier III and Tier IV incidents). DTS embedded staff will contact and work closely with the NAIC Help Desk staff to resolve issues as needed.

Rates and Billing

Feature	Description	Base Rate
Application Service Desk (Tier I & Tier II)	DTS staff provides first line application service desk support.	See DTS Published Rates
Application Support Specialist	DTS staff provides application specific support.	See DTS Published Rates
Applications Data Analyst	DTS staff provides data analysis services as needed.	See DTS Published Rates
Application Business Analyst	See DTS Published Rates	See DTS Published Rates
Hosting	Hosting Services	See current Enterprise rate sheet

Ordering and Provisioning

Potential NIPR Applications users, NIPR Applications users and/or DTS support personnel make requests for provisioning (login and role assignments) via the DTS Enterprise Service Desk which in turn is requested through the NAIC Help Desk.

Application bugs and desired features or enhancements are also initially reported / requisitioned via the DTS Enterprise Service Desk.

DTS Responsibilities

1. Unit testing of modifications to the application and to fixes of reported bugs and implemented enhancements that accommodate legislative mandated changes, changes in business practices,

2. Ensure appropriate changes are made in the associated applications and interfaces to and from NIPR Applications to keep them in sync with changes being made to the NIPR Applications application. The NAIC is responsible for applications and interfaces that communicate NIPR Applications. Whereas DTS is primarily responsible for applications and interfaces locally as developed by DET, Utah Interactive and other 3rd parties. DTS will coordinate testing with these ancillary systems as needed.

3. Assist the Insurance Department in defining requirements for enhancements and legislative changes. Raise issues to Insurance when decisions need to be made related to how a change should be implemented from a business perspective.

4. Define technical requirements for enhancement requests and legislative changes.

5. Coordinate back-end database updates to fix bad data causing problems in the application with the NAIC Help Desk.

6. Provide project management for NIPR Applications Releases, conversions or implementations when required.

7. Perform the first round of testing and run regression scripts on NIPR Applications UAT iterations / releases.

8. Communicate changes being made to the NIPR Applications application to UID and 3rd parties that interface with the SFS application. Coordinate testing of the interfaces with these applications. 3rd Parties and other DTS State agencies that need to be made aware of changes include: UII (CAS, CLR, IPS), Paymentech (Credit card authorization & settlement), Medicap, Adobe eForms, NIPR, etc.

9. Coordinate business rule and configuration table changes making sure any changes that affect any 3rd parties are communicated to and coordinated with all parties.

10. Evaluate proposed legislation with respect to impacts on the NIPR Applications application. Identify changes in consultation with NAIC and 3rd parties, to the application necessary to implement the legislation and estimate the DTS, NAIC and others efforts required to make the changes and/or enhancements.

11. Provide first line / first contact resolution application support to fix problems with the NIPR Applications application and database, print documents, etc.

12. Maintain other systems needed to support the NIPR Applications application: Systems DTS/ UID is responsible for supporting or coordinating the support for including; Sircon CX business rules, Sircon CX UID account administration, NAIC I-Site ID's account and role administration, NIPR business rules administration, NIPR first level application support and others.

13. Provide Network support to ensure that NIPR Applications is up and operating sufficiently during UID Office hours

14. Provide management and administration for 3rd party applications that support the DTS development and change management processes. This includes version control for software and documentation and Service Desk problem tracking and management).

Agency Responsibilities

1. Define business requirements for changes being requested in the NIPR Applications application.

2. Request required reference table changes to support new transactions, product coding matrix or other approved changes for NIPR Applications.

3. Report bugs discovered in the application in Remedy or to the DTS Enterprise Service Desk. Identify what the user was doing when the bug occurred, any error messages encountered and steps to reproduce the problem.

4. Perform Acceptance Testing of each NIPR Applications release, paying particular attention to bug fixes and enhancements that have been assigned to the build / iteration.

5. Run user regression tests as established by Module Documentation on each NIPR Applications release as requested and report any errors found to DTS.

6. Cooperate with DTS and NAIC / NIPR Applications staff as subject matter experts when

requested.

7. UID employees will report incidents using the criteria listed below:

Urgency	Definition
● Low	● Routine request
● Medium	● Work impacted
● High	● Work stoppage with work around
● Urgent	● Total work stoppage

DTS Service Levels and Metrics

Sircon for States (SFS) is required to be up and operational during the hours that the UID offices open for business (8:00 a.m. to 5:00 p.m. Monday thru Friday excluding holidays Mountain time. Public hours are 8:00 a.m. to 5:00 p.m.). The databases are also required to be up for consumer and industry access as well as certain back-end processes that run during business off hours (24 x 7 with scheduled maintenance windows). While Sircon Corporation is responsible for the actual service 24x7, there is a replicated database locally, customized applets, reports, and other third party applications that rely on 24x7 access to the Sircon databases.

Hours of support coverage for the Insurance Department includes 8:00 AM – 5:00 PM Mtn Monday – Friday.

Sircon Corporation is responsible for extended application support and hosting of the service. See Sircon For States PD Exhibit A 4209.02.13a for Sircon Corporation's Support, SLA, System Performance and Operating Objectives.

In an effort to improve service to our customer agencies, DTS will measure and report on the following enterprise metric goals:

- Application Availability
- Resolution Time
- Initial Response
- First Contact Resolution
- Customer Satisfaction Surveys

Application Availability:
Application availability measures DTS' efforts to ensure agency key business applications meet the percent of availability goals identified in the agency Service Level Agreements (SLA). DTS will determine application availability based upon the collective measurement of the configuration items (both hardware and software) which are determinant to supporting the agency business services applications. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months and posted to the DTS Metrics web page at http://dts.utah.gov/metrics/index.php.

Metric Description	Target
NIPR	99.00%

Times exclude those tickets in a "Pending" status waiting a known bug fix.

Resolution Time:
Resolution time measure DTS' efforts to resolve customer incidents within the time lines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: http://dts.utah.gov/metrics/index.php.

Total Time to Resolution	Target: Percent of Tickets Meeting Priority Timelines

Low priority - 6 Business hours	90%
Medium priority - 4 Business hours	90%
High priority – 3 Clock hours	90%
Critical priority - 3 Clock hours	90%

Initial Response:

Initial response measure DTS' efforts to respond to customer incidents within the time lines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: http://dts.utah.gov/metrics/index.php.

Time to Initial Response	Target: Percent of Tickets Meeting Priority Timelines
Low priority – 1 Business hour	85%
Medium priority – 1 Business hour	85%
High priority – 1 Clock hour	90%
Critical priority – 30 Clock minutes	95%

First Contact Resolution:

First contact resolution measures DTS' efforts to resolve customer incidents on initial contact with either our help desk or a technical specialist. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at http://dts.utah.gov/metrics/index.php.

Metric Description	Target
First Contact Resolution	65% of all incidents reported resolved on initial contact

Customer Satisfaction Surveys and Reporting:

All users/customers whose technical incidents are resolved by DTS staff will be given the opportunity to respond to an on-line survey regarding their level of satisfaction with the support received from DTS. Responding to the survey is voluntary.

The chart below identifies DTS enterprise goals for customer satisfaction. Cumulative monthly reports will be created displaying the customer's level of satisfaction with DTS support. These reports will then be posted on the DTS Metrics web page at http://dts.utah.gov/metrics/index.php.

Customer Satisfaction Target

Metric Description	Target
Average level of satisfaction with resolution efforts	≥ 4.5 on a scale of 0 - 5
Percentage of respondents expressing	93% of respondents satisfied

satisfaction (vs. dissatisfaction)	